

**Appendix A**

**Docket 15-0512 - AG Surreply Comments - Revised Mark-up of Staff's Draft Rule**

**TITLE 83: PUBLIC UTILITIES  
CHAPTER I: ILLINOIS COMMERCE COMMISSION  
SUBCHAPTER c: ELECTRIC UTILITIES  
PART 412 OBLIGATIONS OF RETAIL ELECTRIC SUPPLIERS  
SECTION 412.10 DEFINITIONS**

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**Section 412.10 Definitions**

"Act" means the Public Utilities Act [220 ILCS 5].

"Alternative retail electric supplier" or "ARES" means an entity *that offers for sale or lease, or delivers or furnishes power or energy to retail customers.* (See 220 ILCS 5/16-102.)

"Commission" means the Illinois Commerce Commission.

"Complaint" means an objection made to an RES, by a customer or other entity, as to its charges, facilities or service, the disposal of which complaint requires investigation or analysis.

"Customer" means:

*a single entity using electric power or energy at a single premises and that either is receiving or is eligible to receive tariffed services from an electric utility or is served by a municipal system or electric cooperative; or*

*an entity that, on December 16, 1997, was receiving electric service from a public utility and was engaged in the practice of resale and redistribution of such electricity within a building prior to January 2, 1957, or was providing lighting services to tenants in a multi-occupancy building, but only to the extent such resale, redistribution or lighting service is authorized by the electric utility's tariffs that were on file with the Commission on December 16, 1997. [220 ILCS 5/16-102]*

"Early termination fee" means a fee or penalty for terminating a contract for electric service before the end of the contract term.

"Electric utility" means *a public utility, as defined in Section 3-105 of the Act, that has a franchise, license, permit or right to furnish or sell electricity to retail customers within a service area.* [220 ILCS 5/16-102]

"Inbound Enrollment Call" means the customer initiates a call to a RES agent in order to enroll for, or change provision of their, power or energy service. This includes calls where the customer is transferred to the RES agent.

"In-person solicitation" means any sale conducted or initiated where the RES agent is physically present with the customer.

## Appendix A

### Docket 15-0512 - AG Surreply Comments - Revised Mark-up of Staff's Draft Rule

"Letter of Agency" or "LOA" means the document described in Section 2EE of the Consumer Fraud and Deceptive Business Practices Act [815 ILCS 505/2EE] and referenced in Section 16-115A of the Public Utilities Act.

"Pending enrollment" means a valid direct access service request that has been accepted by an electric utility, for which the meter read switch has not yet occurred.

"Rescind" means the cancellation of a contract with an RES and/or pending customer enrollment to an RES, without the incurrence of an early termination fee.

"Residential customer" means a person receiving gas, electric, water or sanitary sewer utility service for household purposes furnished to a dwelling of one or two units that is billed under a residential rate.

"Retail electric supplier" or "RES" includes both alternative retail electric suppliers and electric utilities serving or seeking to serve retail customers outside their service areas or providing competitive non-tariffed service (see Section 16-116 of the Act).

"Renewable energy resources" means resources as defined in Section 1-10 of the Illinois Power Agency Act.

"Renewable Energy Certificate" or "REC" represents the property rights to the environmental, social, and other non-power qualities of renewable electricity generation. A REC, and its associated attributes and benefits, can be sold separately from the underlying physical electricity associated with a renewable-based generation source. A REC represents proof that 1 megawatt-hour (MWh) of electricity was generated from an eligible renewable energy resource (renewable electricity).

"RES agent" means any employee, agent, independent contractor, consultant or other person who is engaged by the RES to solicit customers to purchase, enroll in or contract for power and energy service on behalf of an RES.

"Send" or "Sent", when used in this Part to describe the action to be taken by a Retail Electric Supplier of sending a document to a residential customer or small commercial retail customer may include, if agreed to by the receiving customer, transmission of the document to the customer via electronic delivery (e.g., fax or e-mail).

"Small commercial retail customer" means a nonresidential customer of an electric utility consuming 15,000 kilowatt-hours or less of electricity annually in its service area. A RES may remove the customer from designation as a "small commercial retail customer" if the customer consumes more than 15,000 kilowatt-hours of electricity in any calendar year after becoming a customer of the RES. In determining whether a customer is a small commercial retail customer, usage by the same commercial customer shall be aggregated to include usage at the same premises even if measured by more than one meter and to include usage at multiple premises. Nothing in this Part creates an affirmative obligation on an electric utility to monitor or inform customers or RES as to a customer's status as a small retail commercial customer as defined by

## Appendix A

### Docket 15-0512 - AG Surreply Comments - Revised Mark-up of Staff's Draft Rule

this definition. Nothing in this Part relieves an electric utility from any obligation to provide information upon request to a customer, ~~an~~ RES, the Commission or others necessary to determine whether a customer meets the classification of small commercial retail customer.

"Third party verification" or "TPV" means the process described in Section 2EE(b) of the Consumer Fraud and Deceptive Business Practices Act [815 ILCS 505/2EE(b)] and required to be used to verify that the customer wants to make a change in electric supplier. The TPV shall not be described as having any other purpose.

"Variable rate" means that the contract between the RES and the residential customer does not specify a charge for power and energy service that is fixed for six monthly billing periods or longer and the charge for power and energy service does not change more than once a month.

"Written" or "Writing" means either a hard copy or electronic copy, unless it is specifically stated a hard copy must be placed in the U.S. Mail or delivered by other means. Where this Part requires information to be "written" or in "writing", an electronic record satisfies that requirement, so long as both RES and customer have agreed to electronic communication.

**Appendix A**

**Docket 15-0512 - AG Surreply Comments - Revised Mark-up of Staff's Draft Rule**

**TITLE 83: PUBLIC UTILITIES  
CHAPTER I: ILLINOIS COMMERCE COMMISSION  
SUBCHAPTER c: ELECTRIC UTILITIES  
PART 412 OBLIGATIONS OF RETAIL ELECTRIC SUPPLIERS  
SECTION 412.30 CONSTRUCTION OF THIS PART**

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*[Staff Note – The January 1, 2013 date is dependent upon the effective date of the revised rule. Thus, which the date will be amended, it is not known what the amended date will be.]*

**Section 412.30 Construction of this Part**

In the event of any conflict between this Part and the requirements provided in electric utility tariffs on file with the Commission as of January 1, 2013, this Part shall control. Electric utility tariffs approved after January 1, 2013 shall comply with this Part.

**Appendix A**

**Docket 15-0512 - AG Surreply Comments - Revised Mark-up of Staff's Draft Rule**

**TITLE 83: PUBLIC UTILITIES  
CHAPTER I: ILLINOIS COMMERCE COMMISSION  
SUBCHAPTER c: ELECTRIC UTILITIES  
PART 412 OBLIGATIONS OF RETAIL ELECTRIC SUPPLIERS  
SECTION 412.110 MINIMUM CONTRACT TERMS AND CONDITIONS**

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**Section 412.110 Minimum Contract Terms and Conditions**

~~The sales contract must disclose the following information to the customer, regardless of the form of marketing used. The sales contract must use 10 point font or larger, and, if it is a separate document, it must not exceed two pages in length. The sales contract shall include~~ Any contract between a RES and a residential or small commercial customer shall disclose the following information to the customer. The sales contract shall start with the following information in the order presented in this section, printed in 12 point type or larger. Any additional contract language shall be printed in 10 point type or larger:

- a) The legal name of the RES and the name under which the RES will market its products, if different;
- b) The RES' business address;
- c) ~~The RES' toll free telephone number for billing questions, disputes and complaints, as well as the Commission's toll free phone number for complaints~~ The charges for service for the length of the contract and, if any charges are variable during the term of the contract, an explanation of how the variable charges are determined;
- d) ~~The charges for the service for the length of the contract and, if any charges are variable during the term of the contract, an explanation of how the variable charges are determined~~ For any product that includes a fixed monthly charge that does not change with the customer's usage, and the fixed monthly charge does not include delivery service charges, the RES must provide an estimated price per kWh hour for the power and energy service using sample monthly usage levels of 500, 1,000 and 1,500 kilowatt-hours;
- e) ~~The length of the contract, including any possible automatic renewal clause~~ If a product is being offered at a fixed monthly charge that does not change with the customer's usage and the fixed monthly charge does not include delivery service charges, the RES must provide a statement to the customer that the fixed monthly charge is for supply charges only and that it does not include delivery service charges and applicable taxes; therefore, the fixed monthly charge is not the total monthly amount for electric service;

## Appendix A

### Docket 15-0512 - AG Surreply Comments - Revised Mark-up of Staff's Draft Rule

- f) ~~The presence or absence of early termination fees or penalties, applicable amounts or the formula pursuant to which they are calculated~~ The length or term of the contract, including any applicable renewal clause disclosed in a manner consistent with this Code Part;
- g) ~~Any requirement to pay a deposit for power and energy service, the estimated amount of the deposit or basis on which it is calculated, when the deposit will be returned, and if the deposit will accrue interest~~ Whether an early termination fee or penalty will be imposed for termination of the contract by the customer prior to the expiration of its term, and the manner in which that fee will be calculated;
- h) ~~Any fees assessed by the RES to a customer for switching to the RES~~ Whether and under what circumstances a deposit or prepayment will be required, along with a disclosure of the manner in which the deposit or prepayment will be calculated, and the circumstances in which the deposit or prepayment will be refunded;
- i) ~~The name of the power and energy service for which the customer is being solicited~~ Any fees assessed by the RES to a customer for switching to the RES;
- j) ~~A statement that the customer may rescind the contract, by contacting the RES, before the RES submits the enrollment request to the electric utility~~ If a RES represents that a customer will realize savings under any conditions or circumstances, the RES shall provide a written statement, in plain language, describing the conditions or circumstances that must occur in order for the savings to be realized. The statement shall disclose the entity or entities and price(s) to which the RES is comparing its own offer for purposes of assessing or calculating savings;
- k) A statement that the customer may rescind the contract and the pending enrollment, within 10 calendar days after the electric utility processes the enrollment request, by contacting the RES, unless the contract provides for a period greater than 10 calendar days for the customer to rescind, in which case the length of that greater period shall be disclosed. Residential customers may rescind the contract and the pending enrollment by contacting either the RES or the electric utility. The statement shall provide both toll-free phone numbers;
- l) A statement that the RES is an independent seller of power and energy service certified by the Illinois Commerce Commission and that the agent is not representing or acting on behalf of ~~a~~ the electric utility, governmental bodies (unless the RES has entered into a contractual arrangement with the governmental body and has been authorized by the governmental body to make the statements) or consumer groups;

## Appendix A

### Docket 15-0512 - AG Surreply Comments - Revised Mark-up of Staff's Draft Rule

- m) A statement that the electric utility remains responsible for the delivery of power and energy to the customer's premises and will continue to respond to any service calls and emergencies and ~~that switching to an RES will not impact the customer's electric service reliability~~ that the customer will receive written notification from the electric utility confirming a switch of the customer's power and energy supplier; and
- n) ~~A statement that the customer will receive written notification from the electric utility confirming a switch of the customer's power and energy supplier; The toll-free telephone numbers for the RES, the electric utility, and the Commission's Consumer Services Division.~~
- o) ~~If savings are guaranteed under certain circumstances, the RES must provide a written statement, in plain language, describing the conditions that must be present in order for the savings to occur. In the case of telemarketing and in-bound enrollment calls, the statement shall be provided in accordance with Sections 412.130(e) and 412.140(e); and~~
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- p) ~~A price per kilowatt hour (kWh) for the power and energy service. If a product is being offered at a fixed monthly charge that does not change with the customer's usage and the fixed monthly charge does not include delivery service charges, the RES must provide a statement to the customer that the fixed monthly charge is for supply charges only and that it does not include delivery service charges and applicable taxes; therefore, the fixed monthly charge is not the total monthly amount for electric service. For any product that includes a fixed monthly charge that does not change with the customer's usage and the fixed monthly charge does not include delivery service charges, the RES must provide an estimated price per kWh for the power and energy service using sample monthly usage levels of 500, 1000 and 1,500 kWh.~~

Appendix A

Docket 15-0512 - AG Surreply Comments - Revised Mark-up of Staff's Draft Rule

**TITLE 83: PUBLIC UTILITIES**  
**CHAPTER I: ILLINOIS COMMERCE COMMISSION**  
**SUBCHAPTER c: ELECTRIC UTILITIES**  
**PART 412 OBLIGATIONS OF RETAIL ELECTRIC SUPPLIERS**  
**SECTION 412.115 UNIFORM DISCLOSURE STATEMENT**

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**Section 412.115 Uniform Disclosure Statement**

- a) All RES offers for residential and small commercial customers require a one-page Uniform Disclosure Statement ("UDS") using the form appended to this Part as Appendix A. All text in the UDS shall be printed in a 12-point type or larger. The UDS may include a logo of the RES but the UDS shall not contain any items other than the ones found in Appendix A or described in this section.
- b) The disclosures in the UDS shall conform with Appendix A and include the following in the order shown below:
  - 1) Name: The legal name of the RES and the name under which the RES will market its products, if different;
  - 2) Address: The RES' business address or internet address, or both;
  - 3) Phone: The RES' toll-free telephone number and hours of availability;
  - 4) Price (in cents/kWh) and the number of months this price stays in effect: The price in cents per kilowatt hour and the number of months the price stays in effect. If the price is a fixed monthly charge that does not change with the customer's usage, the fixed monthly charge shall be shown in dollar amounts instead. If the price is a custom price, the UDS shall include the word "custom" and the RES shall replace "custom" with the price offered to a particular customer once the RES has determined the custom price for the customer. If the price is tied to a publicly available index or benchmark, the UDS should state the index or benchmark and include the phrase "refer to contract." If the price is a price that varies more than once a month, the UDS should include the phrase "time of use; refer to contract";
  - 5) Other monthly charges: If the price includes a fixed monthly charge that does not change with the customer's usage, such charge shall be disclosed in dollar amounts;
  - 6) Total price with other monthly charges: If the price includes a fixed monthly charge that does not change with the customer's usage, the UDS



Appendix A

Docket 15-0512 - AG Surreply Comments - Revised Mark-up of Staff's Draft Rule

shall display the total price in cents per kilowatt hour at sample usage levels of 500, 1,000, and 1,500 kilowatt hours;

- 7) Length of the contract: The length of the contract in months;
- 8) Price after the initial price: If the price after the initial price is a fixed price, the UDS shall state such fixed price in cents per kilowatt hours and the number of months such fixed price will stay fixed. If the price after the initial price is a fixed price that includes a fixed monthly charge that does not change with the customer's usage, the UDS shall display the total price in cents per kilowatt hour at sample usage levels of 500, 1,000, and 1,500 kilowatt hours. If the price after the initial price is a variable rate, the UDS shall include the following: "Variable. The variable rate may go up or down from one month to the next and the rate may be higher or lower than the electric utility's rate during any given month." If the price after the initial price is a variable rate, yet one or both of the statements in the preceding sentence do not apply, the UDS shall include the following: "Variable. Refer to contract";
- 9) Early termination fee: The UDS shall disclose the amount of the early termination fee or penalty, if any. If the early termination fee or penalty is not a set amount, the UDS shall disclose the manner in which the fee or penalty will be calculated;
- 10) Contract renewal: The UDS shall disclose whether and how the contract renews with or without affirmative action by the customer;
- 11) Rescission: The UDS shall include the following: "You have a right to rescind (stop) your enrollment within 10 calendar days after your utility has received your order to switch suppliers. You may call us at [insert toll-free number] or your utility at [insert toll free number] to accomplish this." If the contract provides for a period greater than 10 calendar days, the length of that greater period shall be disclosed;
- 12) Cancellation: The UDS shall include the following: "You also have the right to terminate the contract without any termination fee or penalty if you contact us at [insert toll-free number] within 10 business days after the date of your first bill with charges from [insert RES name]." If the contract provides for a period greater than 10 business days, the length of that greater period shall be disclosed;
- 13) The UDS shall include the following: "This is a sales solicitation and the seller is [insert RES name], an independent retail electric supplier. If you

Appendix A

Docket 15-0512 - AG Surreply Comments - Revised Mark-up of Staff's Draft Rule

enter into a contract with the seller, you will be changing your retail electric supplier. The seller does not represent, or act on behalf of, ~~an your~~ electric utility, a governmental body, or a consumer group”;

- 14) The UDS shall include the following: “If you have any concerns or questions about this sales solicitation, you may contact the Illinois Commerce Commission’s Consumer Services Division at 800-524-0795. For information about the electric supply price of your electric utility and offers from other retail electric suppliers, please visit PlugInIllinois.org”;

- 15) The UDS shall state the date the customer was solicited; and

- 16) The UDS shall include an agent ID when the UDS is used for in-person solicitations.

- (XX) For a variable rate product, the UDS shall state that the current rate per kWh price and a one-year price history, or history for the life of the product, if it has been offered less than one year, is available on the RES's website and at a toll-free number. A RES shall not rename a product in order to avoid disclosure of price history.

Appendix A

Docket 15-0512 - AG Surreply Comments - Revised Mark-up of Staff's Draft Rule

**TITLE 83: PUBLIC UTILITIES**  
**CHAPTER I: ILLINOIS COMMERCE COMMISSION**  
**SUBCHAPTER c: ELECTRIC UTILITIES**  
**PART 412 OBLIGATIONS OF RETAIL ELECTRIC SUPPLIERS**  
**SECTION 412.120 DOOR-TO-DOOR IN-PERSON SOLICITATION**

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**Section 412.120 ~~Door-to-Door~~ In-Person Solicitation**

- a) An RES agent shall state that he or she represents an independent seller of power and energy service certified by the Illinois Commerce Commission. An RES agent shall not state or otherwise imply that he or she is employed by, representing, endorsed by or acting on behalf of the electric utility or electric utility program, a governmental body or program (unless the RES has entered into a contractual arrangement with the governmental body and has been authorized by the governmental body to make the statements), or a consumer group or program.
- b) If any sales solicitation, agreement, contract or verification is translated into another language and provided to a customer, all of the documents must be provided to the customer in that other language.
- c) RES agents who engage in in-person solicitations for the purpose of selling power and energy service offered by the RES must wear identification visible on an outer garment clearly disclosing that the sales agent is not affiliated with a the utility. RES agents who engage in door-to-door solicitation for the purpose of selling power and energy service offered by the RES shall display identification. This identification shall be visible at all times and prominently display the following:
  - 1) The RES agent's full name in reasonable size font;
  - 2) A photograph of the RES agent; and
  - 3) The trade name and logo of the RES the agent is representing. The RES agent shall not wear or display any logotype, badge or identification stating or implying that the RES agent is a representative of a the customer's utility. If the agent is selling power and energy services from multiple RES to the customer, the identification shall display the trade name and logo of the agent, broker or consultant entity as that entity is defined in Section 16-115C of the Act.

## Appendix A

### Docket 15-0512 - AG Surreply Comments - Revised Mark-up of Staff's Draft Rule

- d) If the solicitation takes place at premises owned or occupied by a customer, the  
~~The~~ RES agent shall promptly leave the premises at the customer's, owner's or occupant's request.
- e) The RES agent shall ~~ensure that~~, during the sales presentation to the customer, ~~items (d) through (p) of the uniform disclosure statement (Section 412.110(d) through (p)) are verbally disclosed~~ verbally make all disclosures required in subsections (a) and (c) through (m) of Section 412.110 to the customer. An RES agent may disclose the items in any order as long as provided that all applicable items are explained to the customer during the sales presentation.
- f) ~~The RES agent shall require the customer to initial the RES agent's copy of the uniform disclosure statement. A copy of the uniform disclosure statement is to~~ shall be left with the customer at the conclusion of the visit. The minimum list of items to be included in the uniform disclosure statement is contained in Section 412.110. The RES Agent shall also offer a business card or other material that lists the agent's name, identification number (if applicable) and title, the RES's name and contact information, including telephone number.
- g) In-person solicitations that lead to an enrollment require a Letter of Agency and a third-party verification. The ~~If a customer's enrollment is authorized by third party verification during door to door solicitation, the~~ third party verification shall ~~require the customer to verbally acknowledge~~ obtain the customer's acknowledgment that he or she understands the applicable items in items (d) through (p) of the uniform disclosure statement. disclosures required by subsections (c) and (e) through (m) of Section 412.110. Each disclosure must be made individually with a sufficient pause between each to obtain clear acknowledgment of each disclosure. The RES agent must be in a location physically separate from the customer while the TPV is conducted and shall not approach the customer after the TPV for a period of 24 hours.
- h) ~~When it is apparent that a customer's English language skills are insufficient to allow the customer to understand and respond to the information conveyed by the agent in English or when the customer or another person informs the agent of this circumstance, the RES agent shall find another representative fluent in the customer's language, use an interpreter, or terminate the in person contact with the customer. When the use of an interpreter is necessary, a form consistent with Section 2N of the Consumer Fraud and Deceptive Business Practices Act must be completed~~ The RES agent shall not conduct in-person sales solicitations at any building or premises where any sign, notice or declaration of any description whatever is posted which prohibits sales, marketing or solicitations on or at such building or premises.

**Appendix A**

**Docket 15-0512 - AG Surreply Comments - Revised Mark-up of Staff's Draft Rule**

- i) Upon a customer's request, the RES shall refrain from any further marketing to that customer. The RES agent shall obtain consent to enter multi-unit buildings. Consent obtained to enter a multi-unit building from one prospective customer or occupant within the building shall not constitute consent to market to any other prospective customers within a multi-unit building.
- j) When it is apparent that a customer's English language skills are insufficient to allow the customer to understand and respond to the information conveyed by the agent in English or when the customer or another person informs the agent of this circumstance, the RES agent shall find another representative fluent in the customer's language, use an interpreter, or terminate the in-person contact with the customer. When the use of an interpreter is necessary, a form consistent with Section 2N of the Consumer Fraud and Deceptive Business Practices Act must be completed.
- k) Upon a customer's request, the RES shall refrain from any further marketing to that customer. The RES shall maintain a record of the customer's request and shall provide notification of the customer's request to all of its agents. The RES shall retain the record of the request for a minimum of two years.

**Appendix A**

**Docket 15-0512 - AG Surreply Comments - Revised Mark-up of Staff's Draft Rule**

**TITLE 83: PUBLIC UTILITIES  
CHAPTER I: ILLINOIS COMMERCE COMMISSION  
SUBCHAPTER c: ELECTRIC UTILITIES  
PART 412 OBLIGATIONS OF RETAIL ELECTRIC SUPPLIERS  
SECTION 412.130 TELEMARKETING**

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**Section 412.130 Telemarketing**

- a) In addition to complying with the Telephone Solicitations Act [815 ILCS 413], an RES agent who contacts customers by telephone for the purpose of selling power and energy service shall provide the agent's name and, on request, the identification number if the RES has assigned one to the agent. The RES agent shall state that he or she represents an independent seller of power and energy service, certified by the Illinois Commerce Commission. An RES agent shall not state or otherwise imply that he or she is employed by, representing, endorsed by or acting on behalf of ~~an the~~ electric utility or an electric utility program, a governmental body or program (unless the RES has entered into a contractual arrangement with the governmental body and has been authorized by the governmental body to make the statements), or a consumer group or program.
- b) When it is apparent that a customer's English language skills are insufficient to allow the customer to understand a telephone solicitation in English, and the customer or another person informs the agent of this circumstance, the agent must transfer the customer to a representative who speaks the customer's language, if such a representative is available, or terminate the call.
- c) An RES agent shall ~~ensure that~~, during the sales presentation to the customer, ~~items (d) through (p) of the uniform disclosure statement (Section 412.110(d) through (p))~~ are verbally make all disclosures required by (i) subsections (a) and (c) through (m) of Section 412.110 and (ii) any information included in the Uniform Disclosure Statement required by Section 412.115 that is not included in subsections (a) and (c) through (m) of Section 412.110 to the customer. An RES agent may disclose the items in any order so long as all applicable items are explained to the customer during the sales presentation.
- d) ~~If an RES agent engages in telemarketing and third party verification is used to authorize a customer's enrollment, the third party verification must require the customer to verbally acknowledge that he or she understands items (d) through (p) of the uniform disclosure statement in Section 412.110~~ Any telemarketing solicitation that leads to an enrollment must be recorded and retained for a minimum of two years or for the entire period the customer takes service with the RES, whichever is longer. Telemarketing that does not lead to a completed enrollment must be recorded and retained for a minimum of six months. A

**Appendix A**

**Docket 15-0512 - AG Surreply Comments - Revised Mark-up of Staff's Draft Rule**

statistically significant number of such recordings shall be reviewed by the RES to ensure compliance with all applicable rules and regulations. The recordings and written information on the compliance reviews shall be provided to Commission Staff upon request.

- e) For telemarketing that leads to a completed enrollment, a third party verification must be used to authorize a customer's enrollment. The third party verification must require the customer to verbally acknowledge that he or she understands the disclosures required by subsections (c) through (m) of Section 412.110. Each disclosure must be made individually with a sufficient pause between each disclosure to obtain clear acknowledgment of each disclosure. A RES agent initiating a 3-way conference call or a call through an automated verification system shall drop off the call and shall not participate in or continue to overhear the call once the 3-way connection has been established.
- f) The uniform disclosure statement and contract ~~must~~ shall be sent to the customer within three business days after the electric utility's confirmation to the RES of an accepted enrollment.
- g) Upon a customer's request, the RES shall refrain from any further marketing to that customer. The RES shall maintain a record of the customer's request and shall provide notification of the customer's request to all of its agents. The RES shall retain the record of the request for a minimum of two years.

Appendix A

Docket 15-0512 - AG Surreply Comments - Revised Mark-up of Staff's Draft Rule

**TITLE 83: PUBLIC UTILITIES  
CHAPTER I: ILLINOIS COMMERCE COMMISSION  
SUBCHAPTER c: ELECTRIC UTILITIES  
PART 412 OBLIGATIONS OF RETAIL ELECTRIC SUPPLIERS  
SECTION 412.140 INBOUND ENROLLMENT CALLS**

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**Section 412.140 Inbound Enrollment Calls**

If a customer initiates a call to an RES agent in order to enroll for service, the agent must:

- a) ~~Follow~~The RES agent shall fully comply with the requirements in Section 2EE of the Consumer Fraud and Deceptive Business Practices Act;
- b) ~~The RES agent shall V~~verbally disclose to the customer ~~make the disclosures required by subsections (a) and (c) through (m) items (d) through (p) of the uniform disclosure statement (Section 412.110(d) through (p)) to the customer.~~ A RES agent may disclose the items in any order so long as all applicable items are explained to the customer during the sales presentation; and
- c) ~~All inbound enrollment calls that lead to an enrollment shall be recorded, and the recordings shall be retained for a minimum of two years or the length of the customer's service with the RES, whichever is longer. A statistically significant number of such recordings shall be reviewed by the RES to ensure compliance with all applicable rules and regulations. Inbound enrollment calls that do not lead to a completed enrollment must be recorded and retained for a minimum of six months.~~ The recordings and written information on the compliance reviews shall be provided to Commission Staff upon request.
- d) A third party verification must be used to authorize a customer's enrollment. The third party verification must require the customer to verbally acknowledge that he or she understands the disclosures required by (i) subsections (a) and (c) through (m) of Section 412.110 and (ii) any information included in the Uniform Disclosure Statement required by Section 412.115 that is not included in subsections (a) and (c) through (m) of Section 412.110. Each item must be disclosed individually with a sufficient pause between each disclosure to obtain clear acknowledgment of each disclosure. A RES agent initiating a 3-way conference call or a call through an automated verification system shall drop off the call and not participate in or continue to overhear the call once the 3-way connection has been established.
- ee) The RES shall Ssend the uniform disclosure statement and contract to the customer within three business days after the electric utility's confirmation to the RES of an accepted enrollment.



Appendix A

Docket 15-0512 - AG Surreply Comments - Revised Mark-up of Staff's Draft Rule

**TITLE 83: PUBLIC UTILITIES  
CHAPTER I: ILLINOIS COMMERCE COMMISSION  
SUBCHAPTER c: ELECTRIC UTILITIES  
PART 412 OBLIGATIONS OF RETAIL ELECTRIC SUPPLIERS  
SECTION 412.150 DIRECT MAIL**

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**Section 412.150 Direct Mail**

- a) RES agents contacting customers for enrollment for power and energy service by direct mail shall include ~~items (a) and (c) through (m) of Section 412.110 the items of the uniform disclosure statement (Section 412.110)~~ for the service being solicited. Direct mail material shall not make any statements of representation of, endorsement by or acting on behalf of the electric utility or electric utility program, any governmental body or program (unless the RES has entered into a contractual arrangement with the governmental body and has been authorized by the governmental body to make the statements) or any consumer group or program. Direct mail shall not utilize the name or logo of a the customer's utility in any manner.
- b) If the direct mail solicitation includes a written Letter of Agency, the direct mail solicitation shall include the UDS according to Section 412.115 of this Part. The UDS shall be provided in a separate page from the other marketing materials included in the direct mail solicitation. If a written Letter of Agency is being used to authorize a customer's enrollment, it shall comply with Section 2EE of the Consumer Fraud and Deceptive Business Practices Act and shall contain a statement that the customer has read and understood the items each of the disclosures required by subsections (a), (c) and (e) through (m) of contained in the uniform disclosure statement in Section 412.110.
- c) If the direct mail solicitation allows the customer to enroll via telephone or online, Section 412.140 or Section 412.160 shall apply, in addition to this Section 412.150.
- ed) A copy of the contract must be sent to the customer within three business days after the electric utility's confirmation to the RES of an accepted enrollment.

Appendix A

Docket 15-0512 - AG Surreply Comments - Revised Mark-up of Staff's Draft Rule

**TITLE 83: PUBLIC UTILITIES  
CHAPTER I: ILLINOIS COMMERCE COMMISSION  
SUBCHAPTER c: ELECTRIC UTILITIES  
PART 412 OBLIGATIONS OF RETAIL ELECTRIC SUPPLIERS  
SECTION 412.160 ONLINE MARKETING**

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**Section 412.160 Online Marketing**

- a) Each RES offering power and energy service to customers online shall ~~display~~ clearly and conspicuously make all disclosures required by subsections ~~the items (a) and (c) through (m) of the uniform disclosure statement~~ (Section 412.110) for any services offered through online enrollment before requiring the customer to enter any personal information other than zip code, electric utility service territory, and/or type of service sought. The RES internet and electronic material shall not make any statements ~~of to the effect that it is a representative~~ ~~or~~ of, ~~is endorsed~~ ~~made~~ by or is acting on behalf of the electric utility, or any electric utility program, any governmental body or program (unless the RES has entered into a contractual arrangement with the governmental body and has been authorized by the governmental body to make the statements) or any consumer group or program. Online marketing shall not utilize the name or logo of ~~a the customer's~~ utility in any manner.
- b) The ~~document containing the items of the~~ uniform disclosure statement must be printable in a PDF format ~~not to exceed two pages in length~~ and shall be available electronically to the customer.
- c) The RES shall obtain, in accordance with 83 Ill. Adm. Code 453 and Section 2EE(b) of the Consumer Fraud and Deceptive Business Practices Act, an authorization to change RES that confirms and includes appropriate verification data by encrypted customer input on the RES website.
- d) The enrollment website of the RES shall, at a minimum, include:
  - 1) All ~~items~~ disclosures required by subsections (c) through (m) of ~~within the uniform disclosure statement~~ (Section 412.110);
  - 2) A statement that electronic acceptance of the terms is an agreement to initiate service and begin enrollment;
  - 3) A statement that the customer should review the contract and/or contact the current supplier to learn if any early termination fees are applicable; and
  - 4) An e-mail address and toll-free phone number of the RES where the customer can express a decision to rescind the contract.

**Appendix A**

**Docket 15-0512 - AG Surreply Comments - Revised Mark-up of Staff's Draft Rule**

**TITLE 83: PUBLIC UTILITIES**  
**CHAPTER I: ILLINOIS COMMERCE COMMISSION**  
**SUBCHAPTER c: ELECTRIC UTILITIES**  
**PART 412 OBLIGATIONS OF RETAIL ELECTRIC SUPPLIERS**  
**SECTION 412.170 RATE NOTICE TO CUSTOMERS**

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**Section 412.170 Rate Notice to Customers**

- a) At least 30 days prior to the start of a calendar month, each RES shall publish on its website the variable rate(s) for its residential customers applicable for the calendar month in question. In addition, each RES must provide such rate information by telephone to its variable rate customers who request it. The customer's contract shall contain the website address and toll-free phone number for the customer to obtain variable rate information in accordance with this section.
- b) If the RES uses the utility's single bill pursuant to Section 16-118(d) of the Act to bill its residential variable rate customers, the RES shall use the allotted space on the bill to disclose the customer's variable rate that is in effect at the time the bill is received by the customer as well as the variable rate that will be in effect the following monthly billing period. Where there is insufficient available allotted space on the bill for the RES to make such disclosures each month, the RES shall ensure that no residential variable rate customer receives consecutive monthly bills which fail to disclose upcoming variable rates in the bill's message section. If the RES bills its residential variable rate customers directly, the RES shall ensure that those customers' bills always contain the variable rate information described in this section. If the electric utility's implementation of Section 16-118(d) prevents a RES from complying with this section, the RES shall be required to include a bill message that contains the toll-free phone number and/or website address where the variable rate information can be obtained by the customer.
- c) In addition to the information required by Section 412.170(b), the residential variable rate customers' bills shall express the percentage change, if any, of the variable rate from one monthly billing period to the next. If the electric utility's implementation of Section 16-118(d) prevents a RES from complying with this section, the RES shall be required to include a bill message that contains the toll-free phone number and/or website address where this information can be obtained by the customer.
- d) If a residential variable rate customer's rate increase by more than ~~32~~0% from one monthly billing period to the next, the RES shall send a separate written notice to such customer, informing the customer of the upcoming rate change.

## Appendix A

### Docket 15-0512 - AG Surreply Comments - Revised Mark-up of Staff's Draft Rule

- e) Subsections (a) through (d) shall not apply to contracts which determine the variable rate, or a component of the variable rate, on a publicly available index or benchmark.
- f) If a contract includes a provision that results in a residential customer's rate plan changing from a fixed rate to a variable rate during the contract, the RES shall send a separate written notice of the upcoming change to a variable rate at least 30 days but no more than 60 days prior to the switch to a variable rate. The separate written notice shall include:
  - 1) A statement printed or visible from the outside of the envelope or in the subject line of the e-mail (if customer has agreed to receive official documents by e-mail) that states "Upcoming Switch to a Variable Rate";
  - 2) The bill cycle in which the change to a variable rate will begin; and
  - 3) A statement in bold lettering, in at least 12 point type, that the rate will change to a variable rate unless the customer takes a certain action, including the information as to how to take the certain action.
- g) A RES that currently enrolls residential customers on a variable rate and has served at least 200 residential variable rate customers for three consecutive months in any electric utility's service area, must publish on the Commission's PlugInIllinois.org website the monthly variable rate for such customers for the most recent 12-month period, or the period for which the RES had at least 200 residential variable rate customers, whichever is shorter. The RES must publish the most recent monthly residential variable rate, expressed in cents per kWh, within 30 calendar days of the end of the most recent calendar month. When determining the monthly variable rate, the RES shall exclude customers who subscribe to a service offering that exceeds the renewable energy requirements of the renewable portfolio standards applicable to RES under Section 16-115D of the Act. Where a RES has more than one residential variable rate per electric utility service area in any given month, the monthly average rate must be weighted by either number of residential customers subject to each variable rate or residential usage subject to each variable rate.
- h) A RES which has advertised a residential offer within a particular electric utility's service area within the last 30 days, must publish on the Commission's PlugInIllinois.org website at least one residential offer for such electric utility's service area. The RES shall not publish more than three residential offers per electric utility service area at any point in time.

**Appendix A**

**Docket 15-0512 - AG Surreply Comments - Revised Mark-up of Staff's Draft Rule**

**TITLE 83: PUBLIC UTILITIES  
CHAPTER I: ILLINOIS COMMERCE COMMISSION  
SUBCHAPTER c: ELECTRIC UTILITIES  
PART 412 OBLIGATIONS OF RETAIL ELECTRIC SUPPLIERS  
SECTION 412.1705 TRAINING OF RES AGENTS**

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**Section 412.1705 Training of RES Agents**

- a) A RES agent shall be knowledgeable of the requirements applicable to the marketing and sale of power and energy service to the customer class that he or she is targeting. In addition to this Part, requirements pertaining to the marketing and sales of power and energy service may be found in other rules, the Act and the Consumer Fraud and Illinois Deceptive Business Practices Act, and federal laws and regulations.
- b) All RES agents should be familiar with power and energy services that they sell, including the rates, payment and billing options, the customers' right to cancel, and applicable termination fees, if any. In addition, the RES agents shall have the ability to provide the customer with a toll-free number for billing questions, disputes and complaints, as well as the Commission's toll-free phone number for complaints.
- c) RES agents shall not utilize false, misleading, materially inaccurate or otherwise deceptive language or materials in soliciting or providing services.
- d) No RES agent shall make a record of a customer's account number unless the customer has agreed to enroll with the RES or otherwise provided their consent to the release of that information in accordance with methods approved by the Commission. .
- e) A RES shall document the training of its agents and maintain a record of the training for three years from the date the training was completed. Upon request by the Commission or Commission Staff, a RES shall provide training materials and training records within seven business days.
- f) When a RES contracts with an independent contractor or vendor to perform marketing or sales activities on the RES's behalf, the RES shall confirm that the contractor or vendor has provided training approved by the RES and in accordance with this Section.
- g) The RES shall sufficiently monitor telephonic and in-person marketing and sales calls to ensure that RES agents are providing accurate and complete information and complying with applicable laws and regulations.
- h) No RES shall provide to any RES agents any commission, bonus, or other incentive payment based directly or indirectly on success in securing customer enrollments.

**Appendix A**

Docket 15-0512 - AG Surreply Comments - Revised Mark-up of Staff's Draft Rule

**Appendix A**

**Docket 15-0512 - AG Surreply Comments - Revised Mark-up of Staff's Draft Rule**

**TITLE 83: PUBLIC UTILITIES  
CHAPTER I: ILLINOIS COMMERCE COMMISSION  
SUBCHAPTER c: ELECTRIC UTILITIES  
PART 412 OBLIGATIONS OF RETAIL ELECTRIC SUPPLIERS  
SECTION 412.180 RECORDS RETENTION AND AVAILABILITY**

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**Section 412.180 Records Retention and Availability**

- a) Except as otherwise provided herein, RES must retain, for a minimum of two years or for the length of the contract, whichever is longer, verifiable proof of authorization to change suppliers for each customer. Upon request by the Commission or Commission Staff, the RES shall provide authorization records within seven business days.
- b) Throughout the duration of the contract, and for two years thereafter, the RES shall retain the customer's contract. Upon the customer's request, the RES shall provide the customer a copy of the contract via e-mail, U.S. mail or facsimile within seven business days. The RES shall not charge a fee for the copies if a customer requests fewer than three copies in a 12-month period.

Appendix A

Docket 15-0512 - AG Surreply Comments - Revised Mark-up of Staff's Draft Rule

**TITLE 83: PUBLIC UTILITIES  
CHAPTER I: ILLINOIS COMMERCE COMMISSION  
SUBCHAPTER c: ELECTRIC UTILITIES  
PART 412 OBLIGATIONS OF RETAIL ELECTRIC SUPPLIERS  
SECTION 412.190 RENEWABLE ENERGY PRODUCT DESCRIPTIONS**

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**Section 412.190 Renewable Energy Product Descriptions**

- a) The use of general, unsubstantiated and unqualified claims of environmental benefits, such as "green" and "environmentally friendly," is prohibited. The Commission supports the application of the Federal Trade Commission's (FTC) Guides for the Use of Environmental Marketing Claims (see 16 CFR 260.1—260.8 (relating to guides for the use of environmental marketing claims) and 16 CFR 260.15 (relating to renewable energy claims)).
- b) If the product sold by a RES is provided to customers through the local distribution company's transmission and distribution system, a RES cannot represent or imply that electrons from a specific renewable energy facility are directly delivered to a customer. This limitation does not apply to a RES that installs and/or operates distributed generation facilities that are directly connected to a customer's house or business.
- c) A RES may market an electricity product as "renewable", "environmentally-friendly", "green" or similar descriptors only if:
  - 1) All of the product's fuel mix comes from renewable energy resources; or
  - 2) If only a portion of the product's fuel mix comes from renewable energy resources, the marketing materials (whether printed, telecommunication, or electronic) use the format "x% renewable," where "x" is the product's renewable energy resources fuel mix percentage.
- d) When a RES markets its generation as deriving from renewable energy resources, they shall include information to substantiate their claims. Disclosure of renewable energy resources shall be traceable to specific renewable energy sources by an auditable contract trail or equivalent, such as a tradable commodity system, that provides verification that the renewable energy resources claimed have been sold only once to a retail customer.
- e) A RES selling or marketing electricity products made up of, in whole or in part, renewable energy resources and that include RECs in the product's resource mix shall include in all product-specific printed, telecommunication, and electronic marketing materials the following information:
  - 1) A clear description of the product's resource mix (e.g., wind, solar, RECs);
  - 2) The geographic location (by state) of the renewable energy resources included in the resource mix;



## Appendix A

### Docket 15-0512 - AG Surreply Comments - Revised Mark-up of Staff's Draft Rule

- 3) The percentage of each renewable energy resource included in the resource mix;
  - 4) The regional tracking system, such as PJM-GATs or M-Rets, that issues and tracks the RECs purchased by the RES that are included in the resource mix; and
  - 5) The verification program, such as Green-e Energy, the RES uses to verify that the RES' marketing claims are accurate.
- f) A RES selling or marketing electricity products made up of, in whole or in part, renewable energy resources and that include RECs in the product's resource mix shall include in all product-specific printed, telecommunication, and electronic marketing materials the following statements:
- "This is a renewable certificate product. For every megawatt-hour of renewable electricity generated, an equivalent amount of renewable energy certificates is produced. The purchase of renewable energy certificates supports renewable electricity generation, which helps offset conventional electricity generation in the region where the renewable energy generator is located."
- g) If, because of the manner in which a RES procures RECs, it is unable to comply with subsection (e) of this Section 412.190, the RES shall include in all product-specific printed, telecommunication, and electronic marketing materials the information required by subsection (e), subparts (1) through (5) for electricity products marketed in the prior 12 months that were made up of, in whole or in part, renewable energy resources and that included RECs in the product's resource mix. In addition, any such RES shall provide a report to customers who have purchased an electricity product that was made up of, in whole or in part, renewable energy resources and that included RECs in the product's resource mix a report of the information required by subsection (e), subparts (1) through (5) for the product purchased for the prior 12 months.
- h) Sales of electricity by a RES to retail electric customers marketed as deriving from renewable energy resources shall be tracked and counted separately from the from the renewable portfolio standard requirements applicable to a RES under Section 16-115D of the Act.
- a) Only No RES shall state or imply in any marketing or promotional material that any power and or energy service marketed or sold by it is "green", "renewable" or "environmentally friendly" or any term or descriptor of like or similar import which conveys that such power or energy service has a reduced impact on the environment that includes unless such power and or energy is purchased entirely separate and apart from in addition to, and over and above, power, renewable energy credits or alternative compliance payments purchased or made to satisfy the renewable portfolio standard requirements applicable to RES under Section

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## Appendix A

### Docket 15-0512 - AG Surreply Comments - Revised Mark-up of Staff's Draft Rule

16-115D of the Act can be marketed as "green", "renewable energy" or "environmentally friendly."

- b) ~~A RES marketing "green", "renewable", "environmentally friendly" offers, or other offers of any description whatever which convey the impression that such power or energy service has a reduced impact on the environment shall clearly and conspicuously disclose on all materials used in the marketing of such offers the percentage of renewable energy resources used in supplying power or energy to customers pursuant to each offer.~~
- e) ~~A RES marketing "green", "renewable", or "environmentally friendly" offers, or other offers of any description whatever which convey the impression that such power or energy service has a reduced impact on the environment shall clearly and conspicuously disclose on such marketing materials the percentage of renewable energy resources generated in the State of Illinois used in supplying power or energy to customers pursuant to each offer.~~
- d) ~~The disclosures required in subsections (b) through (d) shall apply to offers posted by a RES on the Commission's PlugInIllinois.org website.~~
- e) ~~A RES marketing "green", "renewable", or "environmentally friendly" offers shall disclose, on its website, the generation sources and the location of such generation sources applicable to each offer. If a particular offer contains a mix of renewable energy resources, the RES shall specify the renewable energy resource that makes up the greatest percentage of the portfolio for that offer.~~

Appendix A

Docket 15-0512 - AG Surreply Comments - Revised Mark-up of Staff's Draft Rule

**TITLE 83: PUBLIC UTILITIES  
CHAPTER I: ILLINOIS COMMERCE COMMISSION  
SUBCHAPTER c: ELECTRIC UTILITIES  
PART 412 OBLIGATIONS OF RETAIL ELECTRIC SUPPLIERS  
SECTION 412.210 RESCISSION OF SALES CONTRACT**

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**Section 412.210 Rescission of Sales Contract**

- a) The customer has the ability to rescind the contract with the RES before the RES submits the enrollment request to the electric utility. Within one business day after processing a valid electronic enrollment request from the RES, the electric utility shall notify the customer in writing by U.S. mail of the scheduled enrollment and provide the name of the RES that will be providing power and energy service. The written enrollment notice from the electric utility shall state the last day to make a request rescinding the enrollment and provide contact information for the RES. The written enrollment notice from the electric utility shall also provide information regarding options for the customer if the enrollment has been made in error or without the customer's consent, including contact information for the utility and for the Commission.
- b) A residential customer wishing to rescind the pending enrollment with the RES will not incur any early termination fees if the customer contacts either the electric utility or the RES within 10 calendar days after the electric utility processes the enrollment request or upon request by the customer, if the RES is unable to provide verifiable proof of authorization of enrollment.
- c) A small commercial retail customer wishing to rescind the pending enrollment with the RES will not incur any early termination fees if the customer contacts the RES within 10 calendar days after the electric utility processes the enrollment request, unless the contract provides for a longer period during which the customer may rescind.
- d) If the 10th calendar day falls on a non-business day, the rescission period will be extended through the next business day.
- e) In the event the residential customer provides notice of rescission to the electric utility, the electric utility shall notify the RES.

**Appendix A**

**Docket 15-0512 - AG Surreply Comments - Revised Mark-up of Staff's Draft Rule**

**TITLE 83: PUBLIC UTILITIES  
CHAPTER I: ILLINOIS COMMERCE COMMISSION  
SUBCHAPTER c: ELECTRIC UTILITIES  
PART 412 OBLIGATIONS OF RETAIL ELECTRIC SUPPLIERS  
SECTION 412.220 DEPOSITS**

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**Section 412.220 Deposits**

Any other provision of this Part 412 notwithstanding, an ~~AN~~ RES shall not require a customer deposit if the RES is selling the receivables for power and energy for that customer to the electric utility pursuant to Section 16-118(c) of the Act.

Appendix A

Docket 15-0512 - AG Surreply Comments - Revised Mark-up of Staff's Draft Rule

**TITLE 83: PUBLIC UTILITIES  
CHAPTER I: ILLINOIS COMMERCE COMMISSION  
SUBCHAPTER c: ELECTRIC UTILITIES  
PART 412 OBLIGATIONS OF RETAIL ELECTRIC SUPPLIERS  
SECTION 412.230 EARLY TERMINATION OF SALES CONTRACT**

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**Section 412.230 Early Termination of Sales Contract**

Any contract between an RES and a customer that contains an early termination fee shall disclose the amount of the early termination fee or the formula used to calculate the termination fee. Any early termination fee or penalty shall not exceed \$50 for residential customers and \$150 for small commercial retail customers. The caps shall not apply to charges or fees for devices, equipment, or other services provided by the utility or alternative retail electric supplier. Any contract containing an early termination fee shall provide the customer the opportunity to contact the RES to terminate the contract without any termination fee or penalty within 10 business days after the date of the first bill issued to the customer for products or services provided by the RES. ~~A customer relying on this provision to avoid an early termination fee shall be precluded from relying upon this provision for 12 months following the date the customer terminated his or her sales contract.~~ The contract shall disclose the opportunity and provide a toll-free phone number that the customer may call in order to terminate the contract. This requirement does not relieve the customer of obligations to pay for services rendered under the contract until service is terminated. If a customer has accepted service from a RES after solicitation by a door-to-door salesperson, there shall be no termination fees assessed if the customer terminates during the first six billing cycles.

**Appendix A**

**Docket 15-0512 - AG Surreply Comments - Revised Mark-up of Staff's Draft Rule**

**TITLE 83: PUBLIC UTILITIES  
CHAPTER I: ILLINOIS COMMERCE COMMISSION  
SUBCHAPTER c: ELECTRIC UTILITIES  
PART 412 OBLIGATIONS OF RETAIL ELECTRIC SUPPLIERS  
SECTION 412.240 CONTRACT RENEWAL**

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**Section 412.240 Contract Renewal**

- a) Non-Automatic Renewal. The RES shall clearly disclose any renewal terms in its sales contracts, including any cancellation procedure. For contracts with an initial term of six months or more, the RES shall send a notice of contract expiration separate from the bill at least 30 but no more than 60 days prior to the date of contract expiration. Nothing in this Section shall preclude an RES from offering a new contract to the customer at any other time during the contract period. If the customer enters into a new contract prior to the end of the contract expiration notice period, the notice of contract expiration under this Section is not required. The separate written notice of contract expiration shall include:
- 1) A statement printed or visible from the outside of the envelope or in the subject line of the e-mail (if customer has agreed to receive official documents by e-mail) that states "Contract Expiration Notice";
  - 2) The anticipated bill cycle in which the existing contract will expire;
  - 3) A full description of the renewal offer, including the date service would begin under the new offer, if a renewal offer was provided; and
  - 4) A statement, in at least 12 point font, that the customer must provide affirmative consent to accept the renewal offer, that establishing service with another RES can take up to 45 days, and that failure to renew the existing contract or switch to another RES may result in the customer being reverted to the electric utility default service. The statement shall provide the length of the electric utility tariff minimum stay period, if applicable.
- b) Automatic Renewal. In addition to complying with the Illinois Automatic Renewal Act [815 ILCS 601], the RES shall clearly disclose any renewal terms in its contracts, including any cancellation procedure. For contracts with an initial term of six months or more, and when the contract automatically renews for a specified term of more than one month, the RES shall send a notice of contract renewal separately from the bill at least 30 days but no more than 60 days prior to the end of the initial contract term. Nothing in this Section shall preclude an RES from offering a new contract to the customer at any other time during the contract period. If the customer enters into a new contract prior to the end of the contract expiration notice period, the notice of contract expiration under this Section is not required. The separate written notice of contract renewal shall include:

**Appendix A**

**Docket 15-0512 - AG Surreply Comments - Revised Mark-up of Staff's Draft Rule**

- 1) A statement printed or visible from the outside of the envelope or in the subject line of the e-mail (if customer has agreed to receive official documents by e-mail) that states "Contract Renewal Notice";
- 2) The bill cycle in which service under the new term will begin;
- 3) A statement in bold lettering, in at least 12 point font, that the contract will automatically renew unless the customer cancels it, including the information needed to cancel;
- 4) If the new contract term includes a termination fee, a statement that the customer has from the date of the contract renewal notice through the end of the existing contract term to notify the RES of his or her rejection of the new contract term to avoid incurring a termination fee under the new contract term; and
- 5) A clear disclosure of the contract terms, including a full description of any renewal offers available to the customer.
- 6) In addition to the written notice required per Section 412.170(e), unless the customer has no phone number on record with the RES, the RES shall call the customer at least 30 days but no more than 60 days prior to the end of the initial contract term. The call may be live or automated, and it shall advise the customer of the facts in subsections (b)(2)-(5) herein in addition to the impending end of the initial contract term. A second call shall be required within 14 days of the first call if the first call does not reach a person or an answering machine. The call shall provide the customer with the toll free number that the customer may use to contact the RES to discuss the automatic renewal. The RES shall make a record of the date and time of the call(s), and its success or failure in reaching the customer. The RES shall retain the record for two years. . Calls made pursuant to this Subsection shall also comply with the requirements of Section 412.130.

Appendix A

Docket 15-0512 - AG Surreply Comments - Revised Mark-up of Staff's Draft Rule

**TITLE 83: PUBLIC UTILITIES  
CHAPTER I: ILLINOIS COMMERCE COMMISSION  
SUBCHAPTER c: ELECTRIC UTILITIES  
PART 412 OBLIGATIONS OF RETAIL ELECTRIC SUPPLIERS  
SECTION 412.250 ASSIGNMENT**

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**Section 412.240 Assignment**

If a RES is surrendering or otherwise cancelling its certificate of service authority or is no longer seeking to serve certain customers, the RES shall not assign the contract to a different RES unless:

- a) The new supplier is a RES;
- b) The new RES is in compliance with all applicable requirements of the Commission and the electric utility to provide electric service;
- c) The rates, terms and conditions of the contract being assigned do not change during the remainder of the time period covered by the contract; provided, however, the assigned contract may be modified during the term of the contract if the new RES and the retail customer mutually agree in writing to the changes or revisions of the contract after assignment of the contract when the customer is provided the disclosures set out in Section 412.110;
- d) The rates, terms and conditions of the contract being assigned do not change during the remainder of the time period covered by the contract; provided, however, the assigned contract may be modified during the term of the contract if the new RES and the retail customer mutually agree in writing to the changes or revisions of the contract after assignment of the contract when the customer is provided the disclosures set out in Section 412.110; and
- e) The customer is given 15 calendar days prior written notice of the assignment by the current RES; and
- f) Within 30 days after the assignment, the new RES provides the customer with a toll-free phone number for billing questions, disputes and complaints.



**Appendix A**

**Docket 15-0512 - AG Surreply Comments - Revised Mark-up of Staff's Draft Rule**

**TITLE 83: PUBLIC UTILITIES  
CHAPTER I: ILLINOIS COMMERCE COMMISSION  
SUBCHAPTER c: ELECTRIC UTILITIES  
PART 412 OBLIGATIONS OF RETAIL ELECTRIC SUPPLIERS  
SECTION 412.310 REQUIRED RES INFORMATION**

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**Section 412.310 Required RES Information**

- a) Prior to the RES initiating marketing to residential and small commercial retail customers, and by June 30th of every subsequent year, the RES shall provide the following to the Commission's Consumer Services Division (CSD):
  - 1) A copy of its bill formats (if it bills customers directly rather than using electric utility consolidated billing) (combined billing for RES services and electric utility services);
  - 2) Standard customer sales contract;
  - 3) Customer complaint and resolution procedures; and
  - 4) The name, telephone number and e-mail address of the company representative whom Commission employees may contact to resolve customer complaints and other matters.
- b) The RES must file updated information within 10 business days after changes in any of the documents or information required to be filed by this Section.
- c) If the RES has declared force majeure within the past 10 years on any contracts to deliver power and energy services, the RES shall provide notice to the Commission Staff prior to marketing to residential and small commercial retail customers.

**Appendix A**

**Docket 15-0512 - AG Surreply Comments - Revised Mark-up of Staff's Draft Rule**

**TITLE 83: PUBLIC UTILITIES  
CHAPTER I: ILLINOIS COMMERCE COMMISSION  
SUBCHAPTER c: ELECTRIC UTILITIES  
PART 412 OBLIGATIONS OF RETAIL ELECTRIC SUPPLIERS  
SECTION 412.310 DISPUTE RESOLUTION**

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**Section 412.320 Dispute Resolution**

- a) A residential or small commercial retail customer has the right to make a formal or informal complaint to the Commission, and a RES contract cannot impair this right.
- b) A customer or applicant for power and energy service may submit a complaint by U.S. mail, facsimile transmission, e-mail or telephone to a RES. The RES shall promptly investigate and advise the complainant of the results within 14 calendar days. If the RES responds to the customer's complaint verbally, the RES shall inform the customer of the ability to request and obtain the RES' response in writing. A customer who is dissatisfied with the RES' response shall be informed of the right to file a complaint with the Commission and the Office of the Illinois Attorney General. The RES shall document as a record the customer complaint, subsequent communications between the RES and the customer, and the resolution of the complaint. The RES shall retain the record for two years from the time the complaint is made. Upon request by the Commission or Commission Staff, a RES shall provide complaint records within seven business days.
- c) Complaints to the Commission
  - 1) Informal Complaints (see 83 Ill. Adm. Code 200.160)
    - A) ~~If a complainant is dissatisfied with the results of an RES' complaint investigation,~~ The RES shall inform the complainant of his/her ability to file an informal complaint with the Commission's Consumer Services Division (CSD) and provide contact information for the CSD. Informal complaints may be filed with the CSD by phone, via the internet, by fax, or by mail. Information required to process a customer's informal complaint includes:
      - i) The customer's name, mailing and service addresses, and telephone number;
      - ii) The name of the RES;
      - iii) The customer's electric utility and RES account numbers;
      - iv) An explanation of the facts relevant to the complaint;

**Appendix A**

**Docket 15-0512 - AG Surreply Comments - Revised Mark-up of Staff's Draft Rule**

- v) The complainant's requested resolution; and
  - vi) Any documentation that supports the complaint, including copies of bills or terms of service documents.
- B) The Commission's CSD may resolve an informal complaint via phone by completing a three-way call involving the customer, the CSD staff and the RES. If no resolution is reached by phone and a dispute remains, an informal complaint may be sent to the RES. In the case of the electric utility purchasing the RES' receivables or electric utility consolidated billing, the RES shall notify the electric utility of any informal complaint received and the electric utility shall follow the procedures outlined in its billing service agreement with the RES to withhold collection activity on disputed RES charges on the customer's bill.
- C) The RES shall investigate all informal complaints and advise the CSD in writing of the results of the investigation within 14 days after the informal complaint is forwarded to the RES.
- D) The CSD shall review the complaint information and the RES' response and notify the complainant of the results of the Commission's investigation.
- E) While an informal complaint process is pending:
  - i) The RES (or the electric utility in the case of the electric utility having purchased the RES' receivables) shall not initiate collection activities for any disputed portion of the bill until the Commission Staff has taken final action on the informal complaint; and
  - ii) A customer shall be obligated to pay any undisputed portion of the bill and the RES (or the electric utility in the case of the electric utility purchasing the RES' receivables or the utility presenting the RES' charges on a consolidated bill) may pursue collection activity for nonpayment of the undisputed portion after appropriate notice.
- F) The RES shall keep a record for two years after closure by the CSD of all informal complaints made to the Commission. This record shall show the name and address of the complainant and the date and nature and adjustment or disposition of the informal complaint.

**Appendix A**

**Docket 15-0512 - AG Surreply Comments - Revised Mark-up of Staff's Draft Rule**

- 2) Formal Complaints. If the complainant is not satisfied with the results of the informal complaint process, the complainant may file a formal complaint with the Commission pursuant to Section 10-101 of the Act and 83 Ill. Adm. Code 200.170.
- 3) Disclosure of RES' Level of Customer Complaints. The Commission shall, on at least a quarterly basis, prepare summaries of all formal and informal complaints received by it and publish those summaries on its website. The summaries shall be in an easy-to-read and user friendly format.

## Appendix A

### Docket 15-0512 - AG Surreply Comments - Revised Mark-up of Staff's Draft Rule

#### Section 412.XXX General Disclosure Requirements

RESs must provide its customers factual information about its power and energy products so that customers have sufficient information to make informed purchasing decisions. All written, electronic, and oral communications, including advertising, websites, direct marketing materials, and billing statements distributed by a RES shall be clear and not misleading, fraudulent, unfair, deceptive, or anti-competitive.

#### Section 412.XXX Use of Utility Name or Logo Prohibited

No RES materials, including, but not limited to, direct mail or electronic marketing materials, shall display or utilize the name, logo, or any other identifying insignia, graphics or wording that has been used at any time to represent a public utility company or its services to identify, label, describe, define or brand any of its alternative services or products..

#### Section 412.XXX Supplier Liability for its Agent

- a) A RES may use an agent to conduct marketing or sales activities, including internet sites which list the RES' products or services provided in connection with power or energy and for which listing the RES has paid or will pay a fee or commission.
- b) A RES is responsible for fraudulent, deceptive or other unlawful marketing acts performed by its agents.
- c) Consistent with due process and Section 16-115B(b) of the Act, for violations committed by a RES' agent, the Commission may:
  - (1) Order a RES to cease and desist, any violation of or non-conformance with the provisions of Section 16-115 or Section 16-115A of the Act;
  - (2) Impose financial penalties for any violation of or non-conformance with the provisions of Section 16-115 or Section 16-115A of the Act, not to exceed (i)\$10,000 per day or (ii) \$30,000 per day for those violations or non-conformances which continue after the Commission issues a cease and desist order; and
  - (3) Alter, modify, revoke, or suspend the certificate of service authority of a RES for substantial or repeated violations of or non-conformances with the provisions of Section 16-115 or Section 16-115A of the Act.

#### Section 412.XXX Price Comparison Required

- a) If a RES does not offer a fixed price or guaranteed price for electric generation service, on the back of the UDS, the RES shall describe in clear and conspicuous language the mechanism or formula by which the price is determined, and provide a detailed customer bill comparison, which demonstrates for a residential customer for 250 kWh, 500 kWh, 1,000 kWh and 2,000 kWh plus any monthly fixed and/or variable charge(s) for each month of the year, the customer's total electric bill under the proposed contract with the customer's total electric bill at

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the same electricity usage levels for each month of the year if the customer were to take service from its utility.

- b) If the Commission determines, either on its own motion or in response to a petition, that information, other than that required under a) above, would provide customers with a more accurate understanding of the cost comparison of obtaining energy through a RES instead of through a utility, the Commission Board may, by Order, require that RES marketing materials include that information in addition to, or instead of, the information listed in a) above.

### Section 412.XXX Vagueness, Ambiguity, or Obscurity of Contract Terms Construed in Favor of the Customer

In any dispute between a customer and a RES concerning the terms of a contract, any vagueness, obscurity, or ambiguity in the contract will be construed in favor of the customer.